OHSAS 18001 HEALTH AND SAFETY MANAGEMENT SYSTEM AUDIT GUIDE

Under the requirements of OHSAS 18001, an organization is required to establish and maintain an occupational safety and health management system (OSH MS) that contains certain core elements. Attached to the OHSAS 18001 standard is a general guidance document, OHSAS 18002, titled <u>Health and Safety Management Systems-General Guidance on the Principles, Systems, and Supporting Techniques</u>. The 18002 guidance document reflects the requirements of the OHSAS 18001 standard in the form of questions or statements. References to the pertinent clauses of the OHSAS standard follow each of the paragraphs numbered 1.1 to 5.1 in the text that follows in the audit guide. Guidance on the details of the requirements is continued in "guide notes" that are listed below each main paragraph stating requirements or guidelines from the standard itself. Further clarification of the standard provided by OHSAS 18001 Annex A and OHSAS 18002 is included in the guide notes with the source clearly identified. The 18002 guidance document reflects the standards as published by the British Standards Institute in 1999.

1. Health and Safety Policy

A policy statement sets corporate goals and establishes a base from which decisions are made within an organization. OHSAS 18001 requires the formal establishment of a policy concerning health and safety issues.

1.1 Top management should define the organization's health and safety policy. (Clause 4.2)

Guide Note

Determine if a health and safety policy exists. If it does, it should meet the following requirements to:
- be appropriate to the nature and scale of the organization's OSH risks
- include a commitment to continual improvement
- must include a commitment to comply with relevant health and safety legislation and regulations and with other requirements to which the organization subscribes
- be documented, implemented, maintained, and communicated to all employees with the intent that employees are made aware of their individual OSH obligations
- be made available to all interested parties
- be reviewed periodically to ensure that it remains relevant and appropriate to the organization

According to OHSAS 18002 guidance, the organization's health and safety policy should reflect the vision, mission, core values, and beliefs of the organization, and the health and safety hazards and risks of its operations.

2. Planning

Once a health and safety policy is established, the organization must review its own health and safety issues and determine the best method of managing them. This typically involves a goal setting process as part of the organization's strategic planning program.

2.1 The organization shall establish and maintain procedures for the ongoing identification of hazards, the assessment of risks, and the implementation of necessary control measures. (Clause 4.3.1)

Guide Note

Determine if the following requirements are met:
- a procedure or process to identify health and safety hazards, to assess risks, and to define and implement controls exists and is maintained
- it considers routine and non-routine activities of all personnel having access to the workplace (including subcontractors and visitors), and all facilities at the workplace, whether provided by the organization or others
- identified health and safely hazards and risks are considered in setting health and safety objectives
- required information is collected and kept up-to-date

Verify that the organization's methodology for hazard identification and risk assessment:
- defines its scope, nature and timing to ensure it is proactive rather than reactive
- classifies risks and identifies those that are to be eliminated or controlled
- is consistent with operating experience and the capabilities of risk control measures employed
- provides input into the determination of facility requirements, identification of training needs and or development of operational controls (see paragraphs 3.2 and 3.6)
- monitors required actions to ensure both the effectiveness and timeliness of their implementation *(see* paragraph 4.1)

2.2 The organization should establish and maintain a procedure or process to identify and have access to legal and other requirements that are applicable to it. (Clause 4.3.2)

Guide Note

Determine if the following requirements are met:
- a procedure or process to identify and have access to requirements exists and is maintained
- collected or accessible information *(e.g.,* laws, regulations, industry codes of practice, agreements with public authorities, non-regulatory guidelines) is up-to-date

- the information is analyzed and communicated to employees and other relevant interested parties

According to OHSAS 18002 guidance, the following procedure should be considered:
- the organization should have a process to track legal requirements and their changes
- such changes should be communicated to the personnel responsible for their implementation
- the process could include development of a "register" or list of all laws and regulations related to the organization's activities, products, or services

2.3 The organization should establish and maintain documented health and safety objectives for each relevant function and at each level within the organization. (Clause 4.3.3)

Guide Note

Determine what specific health and safety objectives exist and if they meet the following requirements:
- are documented and kept up-to-date (note that such documents must be controlled as required in 18002 guidance document paragraph 3.5 below)
- apply to all relevant functions and levels within the organization
- are consistent with the health and safety policy, and include a commitment to continual improvement (see 18002 guidance document paragraph 1.1 above)
- consider legal and other requirements-such as health and safety aspects; technological, financial, operational, and business requirements; and views of interested parties-for inclusion in the objectives and targets (see 18002 guidance document paragraph 2.2 above)

According to OHSAS 18002 guidance, health and safety objectives should be established with the following guidelines:
- objectives can be either broad corporate or regional targets or be site-specific
- objectives are defined by the appropriate level of management and are regularly reviewed and revised as appropriate
- the organization sets objectives to be achieved during a specific period
- the organization considers establishing measurable "health and safety performance indicators" that can be used as the basis for a performance measurement and evaluation system

2.4 The organization should establish and maintain a program for setting and achieving its objectives and targets. (Clause 4.3.4)

Guide Note

Determine whether a program exists and if it includes the following items:

- the designation of responsibility for achieving targets for each relevant function and at each level of the organization
- the means and the specified period within which the targets are to be achieved
- provisions for the program's review and update at regular and planned intervals
- a review for new or modified activities, products, and services, as appropriate
- provisions for amending the program, where relevant, to ensure that health and safety management is applied to new activities

According to OHSAS 18002 guidance, the program should:
- identify specific actions, who is responsible for them, and establish priorities for their implementation
- ensure that sufficient resources are available to accomplish the objectives
- review the planning process to check the involvement of appropriate parties

3. Implementation and Operation

Having developed a program, the organization then must implement it. Effective implementation includes clear assignment of responsibility and authority, training programs that provide employees with the tools to accomplish their responsibilities, and various support mechanisms (document control, etc.) that are necessary to ensure efficient application of the program by the staff.

3.1 The management of the organization should define a structure and provide resources to effectively manage health and safety issues. (Clause 4.4.1)

Guide Note

Determine if all of the following have been done
- roles, responsibilities, and authorities are defined, documented, and communicated (note that documentation must be controlled as required in 18002 guidance document paragraph 3.5)
- resources (including human resources and specialized skills, technology, and financial resources) essential to the implementation and control of the OSH MS are provided
- at least one lop management representative is appointed and has defined roles, responsibility, and authority for the following areas:
    1. ensuring that the OH&-MS requirements are established, implemented, and maintained
    2. reporting on the performance of the OSH MS to top management for review and as a basis for improvement of the OSH MS

Verify that all personnel with management responsibility have demonstrated their commitment to the continual improvement of OSH performance

According to OHSAS 18002 guidance, the organization should consider including the following matters:
- operational managers clearly define the responsibilities of relevant personnel and are responsible and accountable for their effective implementation of the OSH MS and health and safety performance
- employees at all levels are accountable (within the scope of their responsibilities) for health and safety performance
- if the organization issues written job descriptions covering other aspects of employee job functions, OSH responsibilities are included
- motivation plays a key role; therefore managers are informed and rewarded for achieving objectives and/or forwarding suggestions that lead to improvement

3.2 The organization should identify the training, education, and skills needed and should provide appropriate training for all personnel whose work may significantly affect the environment. (Clause 4.4.2)

Guide Note

Determine if the organization has identified training needs and has trained its employees and outside affected personnel (e.g., contractors) at all relevant levels to be aware of:
- the importance of conforming with the health and safety policy and procedures and with the OSH MS requirements
- the significant health and safety impacts, actual or potential, of their work activities; and the health and safety benefits of improved personal performance
- their roles and responsibilities in achieving conformance with the health and safety policy and procedures, and with the OSH MS requirements (including emergency response requirements)
- the potential consequences of departure from specified operating procedures

Verify that personnel performing specific assigned tasks have the education, appropriate training, and/or experience, as required.

According to OHSAS 18002 guidance, the following requirements should be met:
- knowledge and skill needs are considered in personnel selection, recruitment, training, skills development, and ongoing education
- training program elements must:
     1. identify employee training needs
     2. develop of a training program
     3. verify of conformance of the training program to regulatory or organizational requirements
     4. train target employee groups
     5. document training received
     6. evaluate training received
  Note that employees who manage contractors and temporary workers must specifically understand their responsibilities for such operations and be trained to accomplish them.
- key factors to review during the audit include the following:
     1. how the training needs of specific job functions are analyzed
     2. how the competence of the employee is evaluated
     3. how the need for retraining is determined

3.3 The organization should establish and maintain communication procedures for ensuring that pertinent OSH information is communicated to and from employees and other interested parties. (Clause 4.4.3)

Guide Note

Determine if the organization has established and maintained documented communication procedures for employee involvement and consultation.

Verify that employees are involved in the development and review of policies and procedures to manage risks, consulted where there are changes that affect health and safety, and are represented on health and safety matters.

Verify that employees are aware of who their OSH representative and management representative are within the organization.

According to OHSAS 18002 guidance, the organization should ensure that:
- employees (and contractors where appropriate) are involved in the identification and assessment of risk both for the existing site and for any new or modified site processes
- concerns of employees (and contractors where appropriate) are effectively represented to management in health and safety matters

3.4 The organization should identify and maintain information related to the OSH MS (e.g., process information, organizational charts, internal standards and operation procedures, site emergency plans, etc.). (Clause 4.4.4)

Guide Note

Determine if the organization has identified and maintains the following information, on paper or in electronic form:
- the requirements of the OSH MS and their interactions
- an index to related documentation

According to OHSAS 18002 guidance, OSH MS information should be handled according to the following guidelines:
- the nature of documentation depends on the size and complexity of organization and how a given document is to be used
- for ease of use, a single document or summary document may be desirable
- the documentation and documents must be available to employees for their use, where necessary

3.5 The organization should establish and maintain procedures for controlling all the documents that OHSAS 18001 requires for the effective implementation of the OSH MS. (Clause 4.4.5)

Guide Note

Determine if the organization has established document control procedures that ensure all documents:
- can be easily located

- are periodically reviewed, revised as necessary, and the adequacy of each is approved by authorized personnel
- are current and available at all locations where operations essential to the effective functioning of the system are performed
- are checked to ensure that obsolete ones are promptly removed from all points of issue and points of use or are otherwise blocked from unintended use (any obsolete documents retained for legal purposes and/or knowledge preservation are suitably identified)

Verify that documentation control procedures are clearly written and identify those responsible for creating and modifying the documents.

3.6 The organization should develop and maintain documented procedures to facilitate the implementation of its health and safety policies, objectives, targets, and programs. (Clause 4.4.6)

Guide Note

Determine if the organization has identified those functions, activities, and processes that are associated with identified risks where control measures need to be applied.

To ensure that these activities are carried out, verify that the organization has procedures for implementing these activities (including maintenance), including:
- establishing and maintaining documented procedures to cover situations where the absence of such procedures could lead to deviations from the health and safety policy and objectives (note that such procedures must be controlled as required in 18002 guidance document paragraph 3.5)
- stipulating operating criteria in the procedures
- establishing and maintaining procedures related to the significant health and safety aspects of goods and services used by the organization and to the communication of relevant procedures and requirements to suppliers and contractors
- establishing and maintaining procedures related to the design of workplace, process, installations, machinery, operating procedures and work organizations; including their adaptation to human capabilities, in order to eliminate or reduce OSH risks at their source

According to OHSAS 18002 guidance on such procedures, the organization would typically consider:
- purchasing or transferring goods or services and use of external resources such as contractors
- hazardous tasks such as confined space entry and lockout-tagout
- hazardous materials storage and use
- maintenance of safe plant and equipment

3.7 The organization should establish and maintain procedures to prevent and respond to accidents and emergency situations, and prevent and mitigate the health and safety consequences that may be associated with them. (Clause 4.4.7)

Guide Note

Determine if the organization has established procedures for identifying potential emergencies.

Verify that the organization has developed procedures for response, prevention, and mitigation, and whether these procedures are:
- maintained
- periodically tested (where practicable)
- reviewed and revised following an emergency

According to OHSAS 18002 guidance, the organization should:
- address procedures and controls to prevent and mitigate the health and safety consequences of likely emergency events
- develop detailed plans of actions, including who will take what actions and how employees will evacuate or respond
- evaluate the need for cooperation with external agencies and work to develop the appropriate interactions

4. Checking and Corrective Action

The implementation of an OSH MS is never perfect, so a feedback mechanism is required to alert the organization to the need for appropriate corrections. OHSAS 18001 requires feedback related both to specific goals and characteristics and to the overall OSH MS.

4.1 The organization should establish and maintain procedures to monitor and measure OSH performance on a regular basis. (Clause 4.5.1)

Guide Note

Determine if the organization has established and maintained procedures to monitor and measure its performance and if these procedures meet the following requirements:
- Appropriate measures of performance, both qualitative and quantitative, both reactive and proactive, are used as indicators
- information is recorded to track performance, relevant operational controls, and conformance with the organization's objectives and targets (such as accidents, incidents, near misses, and other historical measures of performance)
- monitoring equipment is calibrated and maintained and records of the results retained

Determine if procedures for periodically evaluating compliance with relevant health and safety legislation and regulations have been established.

According to OHSAS 18002 guidance, some of the potential measures that might be used include the following:
- accident and incident rates
- prior evaluations of new equipment, supplies, chemicals, etc
- safety sampling
- effectiveness and frequency of inspection techniques
- results of inspections
- employee observations

Review the methods that the organization has used to identify the key characteristics of its processes and determine that they are appropriately designed and effective.

4.2 The organization should establish and maintain procedures both for handling and investigating accidents, incidents and non-conformances and for initiating corrective and preventive action. (Clause 4.5.2)

Determine if the organization has established and maintained procedures that include:
- a definition of the responsibility and the authority for handling
- and investigating accidents, incidents, and non-conformance
- the methods for identifying the cause of the non-conformance
- the actions necessary to mitigate the impacts caused by nonconformance

- the actions necessary to initiate and complete corrective and/or preventive action
- the methods to assure that confirm that corrective and preventive actions were effective

Verify that the site reviews all proposed corrective and preventive actions through the risk assessment process prior lo implementation.

According to OHSAS 18002 guidance, the organization should do the following:
- record findings, conclusions, and recommendations from accidents, incidents, monitoring, audits, and other review, and the necessary corrective actions that were taken
- ensure that no employee suffers any hardship as a result of reporting a non-conformance, accident, or incident
- ensure implementation by following up on directives issued
- institute a systematic evaluation of such issues to ensure effectiveness (these procedures should seek to identify the root cause(s) of the identified issues and develop and implement appropriate corrective and preventive action programs)

Verify that the procedures for handling non-conformance and initiating corrective and prevention action are controlled in the same manner as all other documents (see 18002 guidance document paragraph 3.5).

4.3 The organization should establish and maintain procedures to identify, maintain, and control the health and safety records needed to implement and operate the OHM-MS. (Clause 4.5.3)

Guide Note

Determine if the organization has established and maintained procedures that:
- apply to training records and the results of audits and reviews
- ensure that health and safety records are legible, identifiable, and traceable to the activity, training, product, or service involved
- ensure that health and safety records are stored and maintained so that they are readily retrievable and protected against damage deterioration, or loss
- identify, establish, and record retention times

Determine whether the records are appropriate to the system and organization and whether they conform to the standards of OHSAS 18001.

According to Annex A and OHSAS 18002, the types of records that might be included are:
- accident/incident records and follow-up response
- medical test records and health surveillance response
- pertinent contractor and supplier information
- inspection, maintenance, and calibration records

- PPE issues and PPE maintenance records
- training records
- audit results
- hazard identification, risk assessment, and risk control records
- applicable laws and regulations
- emergency response and preparedness records
- management reviews

According to OHSAS 18002 guidance, key factors for enabling the efficient use of records are:
- means of identification
- collection
- indexing
- filing
- storage
- maintenance
- retrieval
- retention
- disposition

According to OHSAS 18002, the following issues should also be considered:
- the authority for disposal of OSH records
- the confidentiality of OSH records
- legal and other requirements for retaining OSH records
- using and retrieving electronic records

4.4 The organization should establish and maintain a program and procedures for periodically auditing the OHM-MS. (Clause 4.5.4)

Guide Note

Determine whether the organization has established and maintained an OHM-MS audit program and procedures that:
- demonstrate whether or not the organization's OSH MS conforms to planned arrangements, including the requirements of OHSAS 18001 and whether the OSH MS has been properly implemented and maintained
- provide management with information from the results
- are based on the health and safety importance of the activity (using risk assessment results) and the results of previous audits
- contain procedures that cover the audit's scope, frequency, and methodologies, as well as the responsibilities and requirements for conducting audits and reporting results

See the IS0 9000 quality and ISO 14001 environmental audit standards as these are also applicable to OSH-MS audits and auditor qualifications.

5. Management Review

On a periodic basis, the organization should formally review the OSH MS for defects and determine if it needs major changes.

5.1 To ensure the continuing suitability and effectiveness of the OSH MS, the organization should establish and maintain a process, to be implemented at defined intervals, for management to review and evaluate the OSH MS. (Clause 4.6)

Guide Note

Determine if the organization has established and maintained a process for management's review and evaluation of the OSH MS that includes:
-   the definition of intervals for conducting the review
-   procedures to ensure that the necessary information is collected for review and evaluations
-   the documentation of the results
-   provisions for addressing needed chances to policy, objectives and procedures, in response to OSH MS audit results, changing circumstances, and the commitment to continual improvement

According to OHSAS 18002 guidance, the review should cover:
-   the suitability of current OSH policy
-   setting or updating the health and safety objectives, targets, and performance
-   adequacy of current hazard identification, risk assessment, and risk control procedures
-   current levels of risk and effectiveness of existing control measures
-   adequacy of resources (personnel, financial. material)
-   effectiveness of inspection processes
-   effectiveness of hazard reporting process
-   data related to accidents and incidents that have occurred
-   recorded incidents of procedures shown to be effective
-   results of management system audits and their effectiveness
-   state of preparedness for emergency
-   any new initiatives to be introduced or expansions of existing initiatives
-   output of any investigations into accidents and incidents
-   assessment of the effects of foreseeable changes to legislation, technology, or operations

OHSAS 18001 HEALTH AND SAFETY MANAGEMENT SYSTEM

AUDIT SCORE SHEET

SITE:

DATE:

1. Health and Safety Policy	**Does Not Conform**	**Partially Conforms**	**Conforms**
1.1 Top management should define the organization's health and safety policy. (Clause 1.2)	[ ]	[ ]	[ ]
2. Planning	**Does Not Conform**	**Partially Conforms**	**Conforms**
2.1 The organization shall establish and maintain procedures for the ongoing identification of hazard, the assessment of risks, and the implementation of necessary control measures. (Clause 4.3.1)	[ ]	[ ]	[ ]
2.2 The organization should establish and maintain a procedure or process to identify and have access to legal and other requirements that are applicable to it. (Clause 4.3.2) The organization should establish and maintain a procedure or process to identify and have access to legal and other requirements that are applicable to it. (Clause 4.3.2)	[ ]	[ ]	[ ]

2.3 The organization should establish and maintain documented health and safety objectives for each relevant function and at each level within the organization. (Clause 4.3.3)	[ ]	[ ]	[ ]
2.4 The organization should establish and maintain a program for setting and achieving its objectives and targets. (Clause 4.3.4)	[ ]	[ ]	[ ]
3. Implementation and Operation	**Does Not Conform**	**Partially Conforms**	**Conforms**
3.1 The management of the organization should define a structure and provide resources to effectively manage health and safely issues. (Clause 4.4.1)	[ ]	[ ]	[ ]
3.2 The organization should identify the training, education, and skills needed and should provide appropriate training for all personnel whose work may significantly affect the environment. (Clause 4.4.2)	[ ]	[ ]	[ ]
3.3 The organization should establish and maintain communication procedures for ensuring that pertinent OSH information is communicated to and from employees and other interested parties. (Clause 4.4.3)	[ ]	[ ]	[ ]

3.4 The organization should identify and maintain information related to the OSH MS (e.g., process information, organizational charts, internal standards and operation procedures, site emergency plans, etc.). (Clause 4.4.4)	[ ]	[ ]	[ ]
3.5 The organization should establish and maintain procedures for controlling all the documents that OHSAS 18001 requires for the effective implementation of the OSH MS. (Clause 4.4.5)	[ ]	[ ]	[ ]
3.6 The organization should develop and maintain documented procedures to facilitate the implementation of its health and safely policies, objectives, targets, and programs. (Clause 4.4.6)	[ ]	[ ]	[ ]
3.7 The organization should establish and maintain procedures to prevent and respond to accidents and emergency situations, and prevent and mitigate the health and safety consequences that may be associated with them. (Clause 4.4.7)	[ ]	[ ]	[ ]
4. Checking and Corrective Action	**Does Not Conform**	**Partially Conforms**	**Conforms**
4.1 The organization should establish and maintain procedures to monitor and measure OSH performance on a regular basis. (Clause 4.5.1)	[ ]	[ ]	[ ]

	Does Not Conform	Partially Conforms	Conforms
4.2 The organization should establish and maintain procedures both for handling and investigating accidents, incidents and non-conformances and for initiating corrective and preventive action. (Clause 4.5.2)	[ ]	[ ]	[ ]
4.3 The organization should establish and maintain procedures to identify, maintain, and control the health and safety records needed to implement and operate the OSH MS. (Clause 4.5.3)	[ ]	[ ]	[ ]
4.4 The organization should establish and maintain a program and procedures for periodically auditing the OSH MS. (Clause 4.5.4)	[ ]	[ ]	[ ]
5. Management Review	**Does Not Conform**	**Partially Conforms**	**Conforms**
5.1 To ensure the continuing suitability and effectiveness of the OSH MS, the organization should establish and maintain a process, to be implemented at defined intervals, for management to review and evaluate the OSH MS. (Clause 4.6)	[ ]	[ ]	[ ]